

10/10/90

65-03-01

A

PTO/SB/05 (12/97)

Please type a plus sign (+) inside this box → ☐

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney docket No. 99-1042

Total Pages 31

First Named Inventor or Application Identifier

Albert E. Rickey

Express Mail Label No.

ET221866621US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 17]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 6]
4. ☒ Oath of Declaration [Total Pages 2]  
a. ☐ Newly executed (original copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a  
copy of the oath of declaration is supplied under Box 4b,  
is considered as being part of the disclosure of the  
accompanying application and is hereby incorporated  
by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement [ ] Power of Attorney  
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure [ ] Copies of IDS  
Statement (IDS)/PTO-1448 Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☐ Small Entity [ ] Statement filed in prior application,  
Statement(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Certificate of Express Mailing  
form PTO-1449 and cover letter

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Reissue ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_**18. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

NAME	Claudia Cameron					
ADDRESS	Phoenix Technologies Ltd. 411 East Plumeria Drive					
CITY	San Jose	STATE	CA	ZIP CODE	95134	
COUNTRY	USA	TELEPHONE	(408) 570-1038	FAX	(408) 570-1044	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Albert E. Rickey et al. : Date: May 1, 2001  
Serial No. : Group Art Unit:  
Filed: : Examiner:  
For: Methods and Apparatus for Protecting Against : Batch No.:  
Viruses on Partitionable Media

**CERTIFICATE OF MAILING  
UNDER 37 CFR 1.10**

The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

**Identification of Transmitted Papers**

Utility Patent Application Transmittal form, patent application comprising sixteen (16) pages plus a cover page, six (6) sheets of drawing, Combined Declaration and Power of Attorney form (unsigned), form PTO-1449 and cover letter, Fee Transmittal Letter in duplicate including authorization to charge deposit account in the amount of \$764.00, and return receipt postcard

---

**CERTIFICATION OF EXPRESS MAIL DEPOSIT**

"EXPRESS MAIL" MAILING LABEL NO. ET221866621US

DATE OF DEPOSIT -May 1, 2001

---

I hereby certify that the above-identified correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service, under 37 CFR 1.10, on the date indicated above and addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



---

Kenneth W. Float  
Reg. No. 29,233

The Law Offices of Kenneth W. Float  
Office Address: 2 Shire, Coto de Caza, CA 92679  
Mailing Address: PO Box 80790, Rancho Santa Margarita, CA 92688  
Telephone: (949) 459-5519  
Facsimile: (949) 459-5520

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FEE TRANSMITTAL LETTER

May 1, 2001

The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application, including six (6) sheet(s) of drawing,  
of inventor(s): Albert E. Rickey et al.  
for: Methods and Apparatus for Protecting Against Viruses on Partitionable Media

Applicant is a small entity ☐; large entity ☒

The filing fee for this application is calculated below:

FOR:	CLAIMS AS FILED	RATE	TOTAL
Basic Fee		\$ 710.00 =	\$ 710.00
Total Claims	23 - 20 = 3 times	\$ 18.00 =	\$ 54.00
Independent Claims	2 - 3 = 0 times	\$ 80.00 =	\$ 0.00
Multiple Dependent Claims	0 times	\$ 270.00 =	\$ 0.00
TOTAL FILING FEE			\$ 764.00
Assignment Recording Fee	0 times	\$ 40.00 =	\$ 0.00
TOTAL FEES			\$ 764.00

The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account No. 161520

Deposit Account Name: Phoenix Technologies, Ltd.

This form is submitted in duplicate

Respectfully submitted

Kenneth W. Float  
Reg. No. 29,233

The Law Offices of Kenneth W. Float  
Office address: 2 Shire, Coto de Caza, CA 92679  
Mailing address: P. O. Box 80790, Rancho Santa Margarita, CA 92688  
Telephone: (949) 459-5519  
Facsimile: (949) 459-5520